

6/16/93

**SUBJ: AIRPORT CAPITAL IMPROVEMENT PLAN**

**1. PURPOSE.** This Order prescribes the development of a Regional Airport Capital Improvement Plan (ACIP) for the planning, development and execution of an orderly, systematic approach to the application of Airport Improvement Program (AIP) grant funds to necessary airport planning and development under a 5-year program. It provides broad guidelines to allow the different airport organizational structures flexibility in its implementation. A flow diagram relating the National Plan of Integrated Airports System (NPIAS), ACIP and AIP is included as Appendix 1.

**2. DISTRIBUTION.** This Order is distributed to all addressees of the ZRP-510 special distribution list and to all Airports District Offices/Airports Field Offices.

**3. BACKGROUND.** The AIP, which provides Federal funds for planning and development at the nation's public use airports, is a major source of revenue for airport planning and capital development nationwide. In awarding AIP funds to sponsors, the FAA has always emphasized use on the highest priority projects. In the past, the prioritizing of projects has been done at the regional/district office level. Headquarters has distributed AIP funds to the regions based on this regional prioritization and on historical trends in the regions' use of funds. With the extensive demands for funds, FAA must distribute funds to the regions in a way that ensures that, nationally, the highest priority projects are being funded. The ACIP is intended to help accomplish this objective. It is a needs-based five-year plan of funding for airport planning and development projects. The ACIP should be formulated by the FAA in cooperation with states, planning agencies and airport sponsors. The projects in the ACIP will respond to FAA's emphasis on capacity enhancement, safety and security requirements, and noise and other environmental concerns. The distribution of AIP discretionary funds will be based on this plan. In addition, it will provide documented support for responses to

subjective pressures, such as historical trends, for the distribution of Federal funds to lower priority projects.

**4. DEFINITIONS.**

**a. Airport Capital Improvement Plan (ACIP)** - a continual systematic approach to planning and scheduling Federal funding for needed airport planning and development, over a given 5-year period, using a needs-based priority system. The ACIP consists of a list of airport planning and development items expected to be accomplished within a realistic timeframe with anticipated available AIP funds.

**b. Airports District Office/Airports Field Office (ADO/AFO)** - wherever the term ADO appears, it means an ADO or an AFO, or in the case of regions without district or field offices, the office within the region that has the responsibilities for performing the traditional role of an ADO/AFO.

**c. ADO/Local Ranking** - a ranking of airport planning and development work items according to their importance reflective of ADO planning, with sponsor's/system planning agency input.

**d. Regional Ranking** - an aggregate ranking of all ADO work items in the region according to their importance from a regional planning concept.

**e. National Priority** - a numerical, computer-generated system for prioritizing work items in accordance with annual agency goals. The NPIAS/CIP data elements will be used to automatically calculate the work item priority.

**f. Year 1 of the ACIP** - the current AIP fiscal year.

**g. National Plan of Integrated Airport Systems (NPIAS)** - a listing of all AIP eligible planning and development needs of the nation's public use airports without regard for priority or funding availability.

**h. NPIAS/CIP** - the computer software program that contains the database of NPIAS and ACIP information.

**i. Passenger Facility Charge (PFC)** - a \$1, \$2 or \$3 fee that a public agency may be authorized to impose at a commercial service airport that it controls.

## 5. PRINCIPLES.

**a. General** - The development of an ACIP will help to ensure that the FAA manages the grants-in-aid program on the basis of national system needs. It should be consistent with the following goals:

(1) develop orderly and realistic plans of development at the nation's system of airports, yet remain flexible to meet changing needs;

(2) improve consistency in the nationwide distribution of discretionary funds;

(3) provide stronger oversight in assuring that AIP goals are met; and

(4) provide a basis for earlier announcements of programming levels of discretionary funds and, hence, provide more lead time for project development.

### **b. AIP Goals.**

(1) Provide AIP grant funds to assist airport sponsors in:

(a) assuring safe operations (Part 139) and satisfying security requirements (Part 107).

(b) preserving the existing airport system in order to assure reliable and efficient use of existing capacity.

(c) assuring that standards prescribed by the Administrator are met.

(d) adding capacity where it is needed with full consideration given to environment & consequences.

(e) improving environmental compatibility of airports.

(2) Provide AIP grant funds to support priority planning by airport sponsors, states and system planning agencies.

**c. Joint planning efforts of State Aviation agencies, airport sponsors and FAA officials.** It is the intent of the ACIP process to allow for a cooperative effort for the systematic improvement of the nation's public-use airports and to encourage joint efforts in the effective planning and phasing of such improvement. Input from state officials and airport sponsors should be considered in the final selection of projects.

**d. Relationship between the sponsor's preapplication and the ACIP.** It is the intent of the ACIP process to encourage sponsors to submit one annual Reapplication for Federal Assistance (SF 424, etc.) that includes all work items in the sponsor's ACIP.

**6. ACIP PROCESS.** (Flow Diagram is included as Appendix 2.)

**STEP 1: APP-1** requests submission of regional ACIPs (this is formerly referred to as the annual call for the program). This request will include deadlines for submission and guidance to the regions on funding limitations and inclusion of unfunded work items in the regional submission.

**STEP 2:** ADO communicates with sponsors and States requesting that they develop/update ACIPs for individual airports. This communication should take place early in the fiscal year prior to the first of the five fiscal years for which the ACIP is being requested. (See Appendix 3 for a suggested format for a written request)

**STEP 3: States** and sponsors send their ACIPs (based upon master/system plans, joint planning conferences, 5010 data, airport layout plans, safety/Part 139 inspection results, terminal area forecasts, pavement condition surveys and pavement trend analyses, PFC applications, existing NPIAS/CIP data, meetings with the ADOs, etc.) to the ADO for consideration. State/sponsor ACIPs shall include a detailed list of work to be accomplished during each year of the 5-year period, assuming availability of both Federal and local matching funds for all proposed eligible work. AIP funding should show both forecast entitlements, where appropriate, and planned discretionary. Such lists should also contain any work for which PFC funds will be used. A review of local funds that will be used for work that will not be funded with AIP funds may be necessary to support the sponsor's priorities for development.

**STEP 4:** ADO reviews sponsor's ACIP for eligibility, cost reasonableness, justification and sponsor's priority in accordance with FAA Order 5100.38A, AIP Handbook.

**STEP 5:** If the regional Airports Division Manager deems it appropriate, ADOs and regional personnel may meet to assign regional ranking of work items. Regional ACIP, in regional priority order of both Federally-funded and unfunded work items, is sent to the Director, Office of Airport Planning and Programming (APP-1). (See Appendix 4 for report format)

**STEP 6: APP-1**, or designee, reviews each regional ACIP in view of national priorities and national emphasis. Following coordination with the regions, ad-

justments in the regional ACIP may be made to assure that high national priority items are funded equitably among regions. Unfunded items from the regional ACIPs are ranked in national priority order for use by APP-1. The regions are then given programming authority, subject to adjustments during Year 1 of the ACIP. Planning levels and programming authority of funding for future years may also be given at this time.

STEP 7: The region may then begin advance-programming discretionary funds. Sponsor and State entitlement funds may be programmed at any time, subject to APP-1 limitations.

STEP 8: Adjustments are made by the region on unfunded items and continual evaluation of the execution of the ACIP is made throughout the AIP current fiscal year.

**7. RESPONSIBILITIES.** In carrying out this program, specific responsibilities are assigned as follows:

a. Assistant Administrator for Airports, ARP-1:

(1) sets national priorities and goals of annual AIP program accomplishment based upon agency goals and objectives.

(2) resolves any conflicts between regional ACIP and national priorities.

(3) assures compliance with ACIP.

b. Director, Office of Airport Planning and Programming, APP-1:

(1) reviews regional ACIPs.

(2) makes funding adjustments in regional ACIPs to assure the equitable funding of high priority projects among regions.

(3) provides annual programming authority based upon the regions' approved ACIP.

(4) applies national priority to unfunded work items.

(5) reviews effectiveness of ACIP.

c. Regional Airports Division Manager:

(1) oversees development of regional ACIP in standard format required by APP-1.

(2) implements the regional ACIP.

(3) compiles supplemental information to support projects included in the regional ACIP.

(4) maintains currency of ACIP.

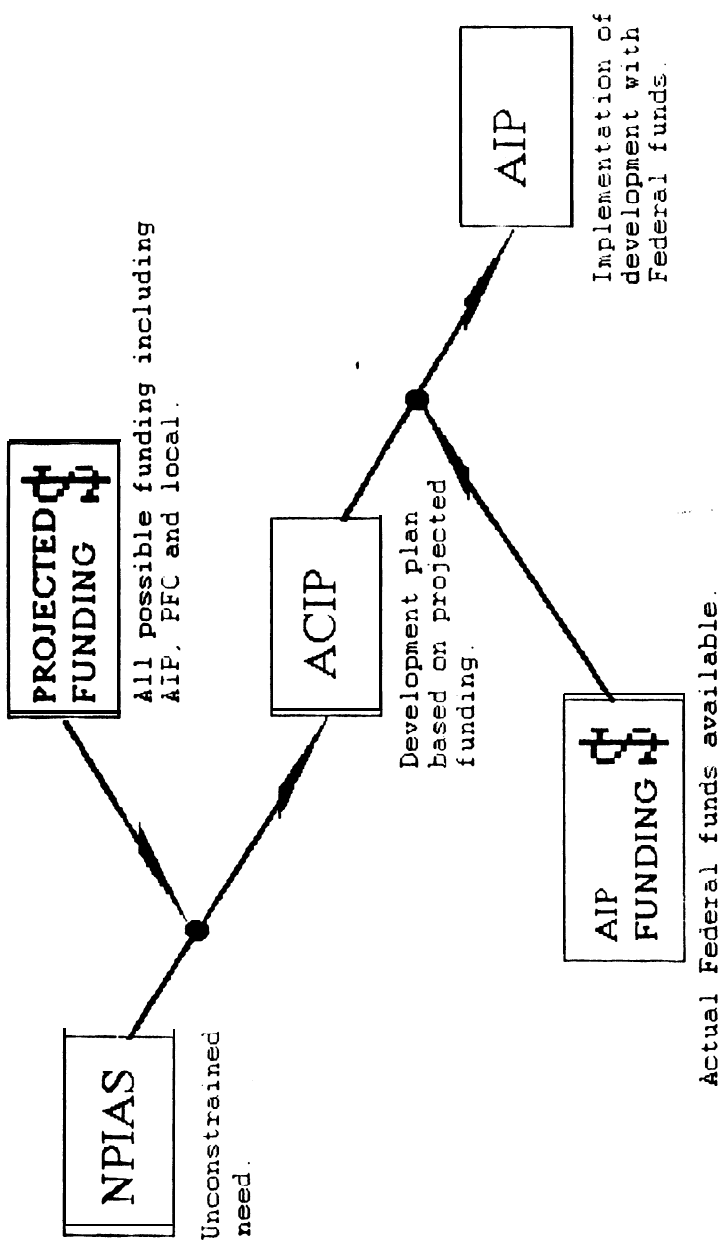
**8. FORMS AND REPORTS.** This order contains sample forms and guidelines for use of the forms.

  
QUENTIN S. TAYLOR  
Acting Assistant Administrator for Airports



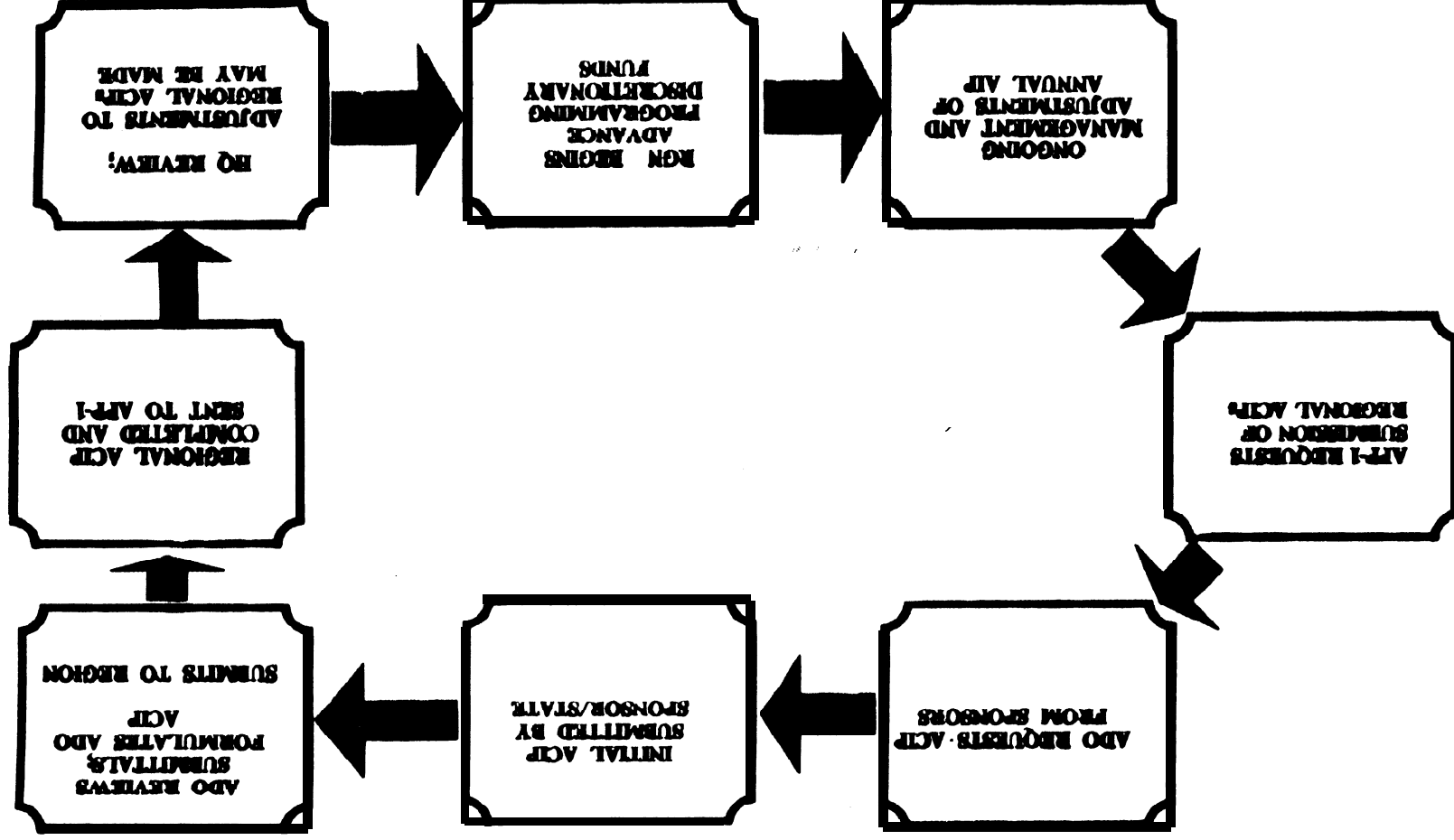
## APPENDIX 1

### THE AIRPORT CAPITAL IMPROVEMENT PLAN "BIG PICTURE"





## APPENDIX 2—ACIP PROCESS







**APPENDIX 3—SUGGESTED TEXT FOR LETTER****REQUESTING A STATE'S OR A SPONSOR'S ACIP**

The Federal Aviation Administration has instituted a process **called** the Airport Capital **Improvement** Plan (**ACIP**) **designed** to better distribute **Airport Improvement Program (AIP)** funds based upon priority **and** need.

As **part of this process, we are developing** a regional **ACIP** to cover the period **199X-199Y** <5 years>. The **information** that you **provide** will be reviewed by this **office** and submitted with other **airport sponsors' information** to our Washington Headquarters office, as appropriate. Based upon this submittal, **AIP** funds **will** be distributed **among** the regions to **fund projects listed** in the each region's **ACIP**.

It is important that **information concerning your airport(s)** <the general aviation and reliever airports within your State> be submitted to this office by <date> for inclusion in our regional **ACIP**. Enclosed is a format **that should** be used **to** submit your **information**. We will **be** requesting information from you on an annual **basis**.

We have developed a computer program that keeps track of planned development over a **5-year** period, as **well** as information contained in the National Plan of Integrated Airport Systems (**NPIAS**) over the next 10 years. This program **can** be made available to you to keep track of your airport's <s> planned development. Please **contact** \_\_\_\_\_<ADO CONTACT>\_\_\_\_\_ at telephone \_\_\_\_\_, if you are interested in further information concerning this computer program.

Sincerely,

Enclosure

< > = information or choices depending on sponsor



# AIRPORT CAPITAL IMPROVEMENT PLAN (FORM)

OMB Approved 2120-0567

[illegible]

**Instructions for  
Airport Capital Improvement Plan**  
(FAA Form **5100-30**)

1. **Airport:** Enter the official name of the airport.
2. **State:** Enter the two letter abbreviation of the state.
3. **NPIAS No.:** Enter the National Plan of Integrated Airport Systems number assigned to the location.
4. **LOCID:** Enter the three or four digit location identifier assigned to the airport. if not available, leave blank and FAA will complete.
- 5(a) **Project Description (by Funding Year in Priority Order):** Enter a brief description of the work and list the work by funding year in priority order.
- 5(b) **Federal Funds:** Enter the amount of Federal AIP funds requested for the work to the nearest dollar Combine entitlement and discretionary funds.
- 5(c) **State Funds:** Enter the amount of the State funds expected to be applied to the work to the nearest dollar.
- 5(d) **Local Funds PFC:** Enter the amount of Passenger Facility Charges to be applied to the work to the nearest dollar.
- 5(e) **Local Funds Other:** Enter the amount of local funds, other than PFC, to be applied to the work to the nearest dollar.
- 5(f) **Total \$:** Enter the sum of 5(b) through 5(e).
- 5(g) **Environmental Impact:** Enter one of the following three codes for environmental actions:
  - C — Categorical exclusion
  - F — FONSI (Finding of No Significant Impact)
  - E — EIS (Environmental impact Statement)
- 5(h) **Start Date:** Enter the numerical eight character date (MM/DD/YY) on which the project is expected to begin (notice to proceed).
- 5(i) **Completion Date:** Enter the numerical eight character date (MM/DD/YY) on which the project is expected to be financially completed.

**Agency Display Of Estimated Burden For  
Airport Capital Improvement Plan**

The public report burden for this collection of information  
is estimated to average 60 minutes per response.

If you wish to comment on the accuracy of the estimate or make suggestions for reducing  
this burden, please direct your **comments** to **OMB** and the FAA at the following addresses.

**Office of Management and Budget**  
Paperwork Reduction Project 2120-0567  
Washington, D.C. 20503

— and —

**U.S. Department of Transportation**  
Federal Aviation Administration  
Program Support Branch, ARP-11  
800 Independence Avenue, S.W.  
Washington, D.C. 20591

**Please DO NOT RETURN your form to either of these addresses.**

## APPENDIX 4—CAPITAL IMPROVEMENT PROGRAM

## Costs by FY/Category/State in Millions

FY: 1993 APPORTIONMENT STATE: CONNECTICUT

location/loc id	item	work codes	nat. prior	1993	federal
		purp comp type pri. year	nt/app	discret	total require
DANIELSON/5B3	CONSTRUCT APRON	ST AP co 183	0.00	0.45	0.00
WILLIMANTIC/5B0	RECONST. RW 9-27, ARPT	BEAC RE RW In 73	0.00	1.04	0.76
CONNECTICUT totals:			0.00	1.49	0.76
APPORTIONMENT totals:			0.00	1.49	0.76

FY: 1993 ENTITLEMENT STATE: CONNECTICUT

location/loc id	item	work codes	nat. prior	1993	federal
		purp comp type pri. year	nt/app	discret	total require
BRIDGEPORT/ELR	DRAINAGE IMPROVEMENTS(FW 1)	ST OT MS 152	0.00	0.35	0.00
	CONDUCT AMPU (TERM.BLDG.STUDY PL PL MA 112		0.00	0.14	0.00
BDR totals:			0.00	0.49	0.00
GROTON/GON	IMPROVE GUIDANCE SIGNS	ST OT MS 152	0.00	0.40	0.00
NEW HAVEN/HVN	SECURITY ACCESS SYSTEM	SA OT MS 32	0.00	0.15	0.00
	PURCHASE ARFF	SA OT RF 12	0.00	0.15	0.00
	EA/DESIGN T/U, SAFETY AREAS(MU E N 0.00 92		0.10	0.00	0.10
HVN totals:			0.00	0.40	0.15
CONNECTICUT totals:			0.00	1.29	0.15
ENTITLEMENT totals:			0.00	1.29	0.15

FY: 1993 NON-COMMERCIAL SER STATE: CONNECTICUT

location/loc id	item	work codes	nat. prior	1993	federal
		purp comp type pri. year	nt/app	discret	total require
WILLIMANTIC/5B0	RECONST. R/W 9-27, ARPT	BEAC RE RW IM 73	0.00	1.04	0.76
CONNECTICUT totals:			0.00	1.04	0.76
NON-COMMERCIAL SER totals:			0.00	1.04	0.76

FY: 1993 NON-HUB STATE: CONNECTICUT

location/loc id	item	work codes	nat. prior	1993	federal
		purp comp type pri. year	nt/app	discret	total require
BRIDGEPORT/BCR	SECURITY ACCESS & FENCING	SA OT SE 12	0.00	0.00	0.35
NEW HAVEN/HVN	PURCHASE ARFF	SA OT RF 12	0.00	0.15	0.15
CONNECTICUT totals:			0.00	0.15	0.50
NON-HUB totals:			0.00	0.15	0.50

FY: 1993 RELIEVER STATE: CONNECTICUT

location/loc id	item	work codes	nat. prior	1993	federal
		purp comp type pri. year	nt/app	discret	total require
DANBURY/DXR	RECONST. R / U 17-35	RE RW IM 62	0.00	0.00	2.00
	SE; BUILDING(DESIGN)	ST OT MS 152	0.00	0.00	0.10
DXR totals:			0.00	0.00	2.10
HARTFORD/HFE	RECONST GH 2-20	GE RW IM 62	0.00	0.00	2.00
CONNECTICUT totals:			0.00	0.00	4.10
RELIEVER totals:			0.00	0.00	4.10

